

EXHIBIT A

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eFiled Application Information

EFS ID	3734515
Application Number	09786208
Confirmation Number	6261
Title	Electronic settlement system, settlement device, and terminal
First Named Inventor	Keiichi Nakajima
Customer Number or Correspondence Address	26610
Filed By	David Lewis Schaeffer
Attorney Docket Number	000790/0002
Filing Date	08-MAY-2001
Receipt Date	05-AUG-2008
Application Type	U.S. National Stage under 35 USC 371

Application Details

Submitted Files	Page Count	Document Description	File Size	Warnings
InformationDisclosureStatement.pdf	4		359424 bytes	 PASS
		Document Description	Page Start	Page End
		Information Disclosure Statement Letter	1	3
			4	4
USProv60131369.pdf	10	NPL Documents	584740 bytes	 PASS
PROV60146628.pdf	19	NPL Documents	515289 bytes	 PASS
PROV60167352.pdf	28	NPL Documents	1239807 bytes	 PASS
09630557ApplnAndAmendmentOf05202008.pdf	176	NPL Documents	7135574 bytes	 PASS

09630563ApplnAndAAFRof07032008.pdf	120	NPL Documents	4562347 bytes	◆ PASS
11344131OfficeActionDated07162007.pdf	9	NPL Documents	316422 bytes	◆ PASS
EnglishTranslationofIPER.pdf	16	Foreign Reference	624811 bytes	◆ PASS
fee-info.pdf	2	Fee Worksheet (PTO-06)	8187 bytes	◆ PASS

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New Applications Under 35 U.S.C. 111

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

National Stage of an International Application under 35 U.S.C. 371

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

New International Application Filed with the USPTO as a Receiving Office

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.

If you need help:

- *Call the Patent Electronic Business Center at (866) 217-9197 (toll free) or e-mail EBC@uspto.gov for specific questions about Patent e-Filing.*
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- *If you experience technical difficulties or problems with this application, please report them via e-mail to [Electronic Business Support](#) or call 1 800-786-9199.*

Docket No.
000790/0002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: **Keiichi Nakajima**

Group Art Unit: **3621**

Application No.: **09/786,208**

Examiner: **Pierre E. Elisca**

Filed: **May 8, 2001**

For: **ELECTRONIC SETTLEMENT SYSTEM, SETTLEMENT
DEVICE AND TERMINAL**

Date: **August 5, 2008**

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In compliance with the duty of disclosure under 37 C.F.R. § 1.56 and in accordance with the practice under 37 C.F.R. §§ 1.97 and 1.98, the Examiner's attention is directed to the documents listed on the enclosed Information Disclosure Statement by Applicant form (PTO/SB/08A and/or B, PTO-1449, or equivalent).

The following checked sections apply to this Information Disclosure Statement:

- ☒ In accordance with 37 C.F.R. § 1.98(a)(2)(ii) as revised at 69 Fed. Reg. 56481 (September 21, 2004), copies of the cited U.S. patent application publication(s) and/or U.S. patent(s) have not been submitted.
- ☐ The cited reference(s) were called to Applicant's attention in a counterpart foreign patent application. A copy of the official communication in that counterpart foreign patent application citing the reference(s) is submitted herewith, and the Examiner is respectfully directed thereto for a concise explanation of the relevance of the cited art.
- ☐ At least some of the cited references are not (or the cited reference is not) in English, and so English abstracts of those references (that reference) are provided, if available.
- ☐ At least some of the cited references are not (or the cited reference is not) in English, and so machine English translations of those references (that reference) are provided, where available.
- ☐ This Information Disclosure Statement is being filed (1) within three months of the filing date of a national application other than a continued prosecution application under Sec. 1.53(d), (2) within three months of the date of entry of the national stage as set forth in Sec. 1.491 in an international application, (3) before the mailing of a first Office action on the merits, or (4) before the mailing of a first Office action after the filing of a Request for Continued Examination under 37 C.F.R. § 1.114. Accordingly, neither a fee nor Statement under 37 C.F.R. § 1.97(e) is due.

- ☒ This Information Disclosure Statement is being filed before the mailing date of any of a final action under 37 C.F.R. § 1.113, a Notice of Allowance under 37 C.F.R. § 1.311, or an action that otherwise closes prosecution in the application, and so is accompanied by one of:

(1) A Statement under 37 C.F.R. § 1.97(e), which follows; or

(2) The fee set forth in 37 C.F.R. § 1.17(p), authorization for which follows.

- ☐ This Information Disclosure Statement is being filed either (1) on or after the mailing date of a final action under 37 C.F.R. § 1.113, or (2) on or before payment of the issue fee, and is accompanied by:

(1) A Statement under 37 C.F.R. § 1.97(e), which follows; and

(2) The fee set forth in 37 C.F.R. § 1.17(p), authorization for which follows.

- ☒ Fee Under 37 C.F.R. § 1.17(p)

The Commissioner is authorized to charge the fee under 37 C.F.R. § 1.17(p) (\$180) to Deposit Account No. 19-4709.

- ☐ Statement Under 37 C.F.R. § 1.97(e)

Each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement; or

No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in Sec. 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

- ☐ Additional Comments

Applicant(s) have the following additional comments:

It is respectfully requested that the above information be considered by the Examiner and that an initialed copy of the accompanying Information Disclosure Statement by Applicant form (PTO/SB/08A and/or B, PTO-1449, or equivalent) be returned to the undersigned indicating that such information has been considered.

Other than any fees mentioned above, no fees are believed to be due in connection with this Information Disclosure Statement. Nevertheless, the Commissioner is authorized to charge any fees which are deemed to be now or hereafter due in connection with this paper to Deposit Account No. 19-4709.

Favorable consideration and prompt allowance of this application is respectfully requested. In the event that there are any questions, or should additional information be required, please contact Applicant(s) attorney at the number listed below.

Respectfully submitted,

/David L. Schaeffer/

David L. Schaeffer

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FORM PTO 1449 (<i>modified</i>) U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE LIST OF REFERENCES CITED BY APPLICANT(S) (Use several sheets if necessary)				ATTY DOCKET NO. 000790/0002		APPLICATION NO. 09/786,208	
				APPLICANT Keiichi Nakajima			
				FILING DATE May 8, 2001		GROUP 3621	
U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		6,629,135	9-30-2003	Ross, Jr. et al.			
		6,405,176	6-11-2002	Toohey			
		6,796,491	9-28-2004	Nakajima			effective filing date 9-22-1999
		7,014,106	3-21-2006	Nakajima			effective filing date 9-22-1999
		7,296,755	11-20-2007	Nakajima			effective filing date 9-22-1999
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES/NO/ OR ABSTRACT
OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)							
		U.S. provisional patent appln. no. 60/131,369 (Sherman)					
		U.S. provisional patent appln. no. 60/146,628 (David)					
		U.S. provisional patent appln. no. 60/167,352 (David)					
		U.S. patent appln. no. 09/630,557 (Nakajima), with Amendment filed 5-20-2008					
		U.S. patent appln. no. 09/630,563 (Nakajima), with Amendment After Final Rejection filed 7-3-2008					
		Office Action in U.S. appln. no. 11/344,131 (mailing date 7-16-2007)					
		English translation of International Preliminary Examination Report in International patent appln. PCT/JP00/02014 (10-16-2001)					
EXAMINER				DATE CONSIDERED			

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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